



# **INTERNAL AUDIT SUBSTANTIVE TESTING RECORDS MANAGEMENT**

June 4, 2001

Roanoke City Council Audit Committee  
Roanoke, Virginia

We have completed an audit of the City's records management program. Our audit was performed in accordance with government auditing standards.

## **BACKGROUND**

The Virginia Public Records Act of the Code of Virginia vests the State Library Board with the power to oversee the records management function of state and local government. The law authorizes the Board to regulate and manage the preservation, storage, microfilming, and destruction of public records. Section 42.1-85 of the Code of Virginia requires each locality to designate a records manager to serve as a liaison to The Library of Virginia. There is no penalty for not complying with the Virginia Public Records Act, but sound business reasons make compliance in the City's best interest.

The City of Roanoke's Records Manager, Diane Smallwood, coordinated the process of implementing a records management program. Each City department designated an employee as a Records Coordinator to act as their department's record management liaison to the Office of Management & Budget and attend in-house training provided by the Office of Management & Budget. The training entailed learning the type of records that are required to be kept, the proper storage of records, and when and how to dispose of records. The Records Manager inspected individual department's records between June and October 1999, to ensure compliance with the records management program and provide additional guidance where needed.

## **PURPOSE**

The purpose of the audit was to determine the following: City departments have a current master records inventory sheet, records are being destroyed according to schedule, departments are completing RM-3 forms to properly destroy records, and records are stored in a proper environment.

**SCOPE**

Our audit included a review of City departments and Constitutional offices. Attachment A provides a listing of the participating and non-participating departments in the City=s records management program.

**METHODOLOGY**

We interviewed the City=s Records Manager to develop an understanding of existing procedures and visited all departments participating in the records management program. During the on-site visit, we determined whether the master record inventories were being updated on an annual basis, records were being destroyed according to schedule, departments were completing RM-3 forms before destroying records, and the records were stored in a proper environment.

**RESULTS**

1. Four of the 47 City departments did not have a master records inventory sheet.
2. Eighteen of the 47 City departments did not have a current master records inventory sheet.
3. Thirteen of the 47 City departments are not destroying records according to their retention schedule.
4. Four of the 47 City departments did not have an RM-3 form on file for destroyed records.
5. Seven of the 47 City departments were not storing their records in a proper environment.

We discussed the results of the audit with management and have agreed that the following recommendations will be implemented:

- The City=s Records Manager will send an annual memo to City departments to request an updated master records inventory sheet and attach a list of records that are eligible for disposal. This should help departments maintain a current master records inventory sheet and destroy their records according to the retention schedule.
- The Records Manager will perform a follow up inspection to ensure that all departments have complied within a certain period.
- Basic records management training will be offered again in-house for all departmental coordinators. Additional training to be provided for the departments will also include procedures for electronic records and for documenting/implementing a records disaster recovery plan.

Management & Budget and the Director of General Services have agreed to transfer responsibility for the records management program to the Purchasing Department on July 1, 2001. The transfer is based on the proposition of converting current warehouse space into a records storage facility. The details of how the records management function will be

administered have not yet been developed. Considerable planning and expertise will be required to ensure the records management program improves to achieve satisfactory compliance.

We would like to thank all the City departments for their assistance and cooperation during the audit.

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